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Signatures maintained on controlled copy in CAD QA office.

1.0 Purpose

This document outlines the requirements for the evaluation of the quality assurance programs and capabilities of a prospective supplier.

2.0 Scope

The requirements of this document apply primarily to the procurement of AGS QA Category A1 (Critical) and A2 (Major) items. It may, at the discretion of the cognizant engineer or scientist (CE/CS), or AGS QA Office also apply to any AGS Department procurement.

3.0 Policy

- 3.1 Each division within the AGS Department shall ensure that the suppliers who are selected to provide them with goods or services are capable of meeting the technical and quality requirements of the procurement, and that the goods or services provided by the suppliers are acceptable for intended use.
- 3.2 Potential suppliers of critical, complex, or costly items or services should, prior to the award of a contract, be evaluated to ascertain that they have the capability to provide items or services that consistently conform with the technical and quality requirements of the procurement.
- 3.3 The determination of which suppliers shall be evaluated or if an evaluation is necessary will be made by division management, with the assistance of the AGS QA Office and DCP.

4.0 References

BNL-QAG-508, Evaluation of Seller Quality Assurance Program and Capability

5.0 Procedure

- 5.1 In developing a source list, the CE/CS must determine if prospective suppliers have Quality Assurance Programs (QAP) which assure the quality of the requested items or services.
 - 5.1.1 A reevaluation of a previously approved seller's QAP may be necessary if existing documentation at BNL is not current, or if records do not contain information relative to the scope of work being considered.
- 5.2 The assessment of a prospective supplier's QAP shall be conducted by the CE/CS, AGS QA Office, an AGS/BNL consultant, or any combination thereof.
- 5.3 The evaluation may be based upon the results of one, or a combination of the following:
 - 5.3.1 Review of the supplier's quality history with AGS/BNL;
 - 5.3.2 Review of the supplier's quality history in providing the same or similar items or

services to other national or international laboratories, universities, or companies.

- 5.3.3 Survey of the supplier's facility for the purpose of reviewing the adequacy of the quality system.
- 5.4 If a decision is made to perform a supplier quality program assessment, arrangements shall be coordinated with DCP. The CE/CS shall inform the AGS QA Office of the decision to perform a survey. Contacts with a seller relative to the conduct of a survey of the seller's facility and quality assurance program shall be through DCP.
- 5.5 Prior to the assessment, background information which pertains to the procurement should be obtained by the assessment team. They should include:
- Description of the item and its requirements;
 - Description of the quality assurance requirements;
 - Required quantity and delivery schedule;
 - Description of any tooling, and measurement or test equipment requirements;
 - Description of any critical process, or material requirements;
 - Knowledge of the seller's quality history at AGS/BNL;
 - Names of key seller personnel.
- 5.5 The appropriate quality program criteria should be documented prior to conducting the assessment. This facilitates uniformity in evaluating the quality programs at various suppliers and becomes part of each supplier's quality history at AGS/BNL.
- 5.5.1 Reference appendix A of BNL-QAG-508 for a sample of the current BNL Quality Assurance Supplier Survey Report. At the discretion of the assessment team, this form may be used as is, modified as required, or replaced by a comparable document.
- 5.6 At the conclusion of the assessment, the findings shall be reviewed with the seller to the extent permissible by law and regulations. Those areas requiring attention in order to meet AGS requirements should be highlighted in accordance with appropriate acquisition procedures.
- 5.7 If the seller's quality assurance program was determined to be unacceptable, DCP shall convene a meeting of the cognizant AGS/BNL personnel to decide whether:
- 5.7.1 Seller should be rejected as a source to AGS/BNL;
- 5.7.2 Seller should be acceptable as a AGS/BNL source for specific items only;
- 5.7.3 Seller should be given a specified period of time to correct the deficiencies in their QAP prior to the placement of an order;

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- 5.7.4 Seller should be given the order on the condition that the deficiencies in his QAP will be corrected within a specified period of time. (Note: this should be done only if the seller is a sole source, or if there are other overriding circumstances.)
- 5.8 If the seller is given a specified period of time to correct deficiencies, a follow-up survey should be made to verify that adequate corrective action has been implemented.
- 5.9 At the discretion of the assessment team, or upon formal request by the supplier, a copy of the Supplier Quality Program Assessment, or a written summary of the results will be sent to the supplier via DCP.
- 5.10 Completed Supplier Quality Program Assessments should be distributed to DCP, CE/CS, AGS QA Office, Division Management, and AGS/BNL personnel or consultants who took part in the survey, or who are interested in the results.